



BBW

Atty. Dkt. No. 040897-0115

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Paul THURK et al.

Title: PHOSPHOR MATERIALS AND ILLUMINATION DEVICES
MADE THEREFROM

Appl. No.: 10/814,295

Filing Date: 04/01/2004

Examiner: Unassigned

Art Unit: 2879

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith on Form PTO/SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document, except as noted below, is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The USPTO has waived the requirement under 37 CFR 1.98(a)(2)(i) to submit copies of U.S. patents and U.S. patent application publications when citing and submitting an Information Disclosure Statements in a patent application filed after June 30, 2003 and in an international application that has entered the national stage under 37 USC §371 after June 30, 2003. Accordingly, copies of these types of documents are not being supplied in connection with this application. Reference is being made to OG Notice dated August 5, 2003,

Information Disclosure Statements May Be Filed Without Copies of U.S. Patents and Published Applications in Patent Applications filed after June 30, 2003.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The listed documents are being submitted in compliance with 37 CFR §1.97(b), before the mailing date of the first Office Action on the merits.

RELEVANCE OF EACH DOCUMENT

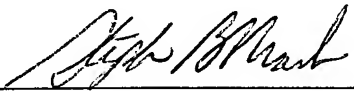
All of the documents are in English and are described in the specification.

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

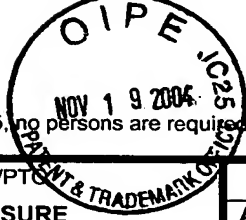
Respectfully submitted,

Date: November 12, 2004

By 

FOLEY & LARDNER LLP
Customer Number: 22428
Telephone: (202) 672-5569
Facsimile: (202) 672-5399

Stephen B. Maebius
Attorney for Applicant
Registration No. 35,264



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

Date Submitted: November 12, 2004

(use as many sheets as necessary)

Sheet 1 of 3

Complete if Known

Application Number	10/814,295
Filing Date	04/01/2004
First Named Inventor	Paul THURK et al.
Group Art Unit	2879
Examiner Name	Unassigned
Attorney Docket Number	040897-0115

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	A1	4,965,485		TARUMI, et al.	10/23/1990	
	A2	5,537,000		ALIVISATOS, et al.	07/16/1996	
	A3	5,813,753		VRIENS, et al.	09/29/1998	
	A4	6,069,440		SHIMIZU, et al.	05/30/2000	
	A5	6,175,187	B1	TSUTSUI	01/16/2001	
	A6	6,252,915	B1	MOLLENKOPF, et al.	06/26/2001	
	A7	6,268,041	B1	GOLDSTEIN	07/31/2001	
	A8	6,336,837	B1	MAEDA	01/08/2002	
	A9	6,406,803	B1	ABE, et al.	06/18/2002	
	A10	6,417,019	B1	MUELLER, et al.	07/09/2002	
	A11	6,501,091	B1	BAWENDI, et al.	12/31/2002	
	A12	6,508,573	B1	YAMAZAKI	01/21/2003	
	A13	6,521,915	B2	ODAKI, et al.	02/18/2003	
	A14	6,522,065	B1	SRIVASTAVA, et al.	02/18/2003	
	A15	2003/0003300	A1	KORGEL, et al.	01/02/2003	
	A16	2003/0042850	A1	BERTRAM, et al.	03/06/2003	
	A17	2003/0066998	A1	LEE	04/10/2003	
	A18	2002/0153830	A1	ANDRIESSEN	10/24/2002	
	A19	2002/0167024	A1	JABBOUR, et al.	11/14/2002	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ⁶
	A20	MADOU, "Pattern Transfer with Additive Techniques," Fundamentals of Microfabrication, Second Edition, 2002, pp. 123-181, CRC Press, United States.	
	A21	ZUKAUSKAS, et al., "Introduction to Solid-State Lighting," 2002, Chapter 2, pp. 7-19, John Wiley & Sons, Inc., New York.	
	A22	HEINRICH, et al., "Luminescent Colloidal Silicon Suspensions from Porous Silicon," January 3, 1992, Science, pp. 66-68, Vol. 255.	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT Date Submitted: November 12, 2004 <i>(use as many sheets as necessary)</i>		Complete if Known	
		Application Number Filing Date First Named Inventor Group Art Unit Examiner Name Attorney Docket Number	10/814,295 04/01/2004 Paul THURK et al. 2879 Unassigned 040897-0115
Sheet	2	of	3

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ⁶
	A23	BELOMOIN, et al., "Oxide and Hydrogen Capped Ultrasmall Blue Luminescent Si Nanoparticles," Applied Physics Letters, August 7, 2000, pp. 779-781, Vol. 77, No. 6,	
	A24	BELOMOIN, et al., "Observation of a Magic Discrete Family of Ultrabright Si Nanoparticles," Applied Physics Letters, 4 February 2002, pp. 841-843, Vol. 80, No. 5.	
	A25	DABBOUSI, et al., "(CdSe)ZnS Core-Shell Quantum Dots: Synthesis and Characterization of a Size Series of Highly Luminescent Nanocrystallites," J. Phys. Chem. B, 1997, pp. 9463-9475, Vol. 101, No. 46.	
	A26	BAUER, et al., "Laser Synthesis of Low-Agglomerated Submicrometer Silicon Nitride Powders from Chlorinated Silanes," Journal of the American Ceramic Society, November 1991, pp. 2759-68, Vol. 74, No. 11.	
	A27	HOLMES, et al., "Highly Luminescent Silicon Nanocrystals with Discrete Optical Transitions," J. Am. Chem. Soc., 2001, pp. 3743-3748, Vol. 123, No. 16.	
	A28	ENGLISH, et al., "Size Tunable Visible Luminescence from Individual Organic Monolayer Stabilized Silicon Nanocrystal Quantum Dots," Nano Letters, 2002, pp. 681-685, Vol. 2, No. 7.	
	A29	BURIAK, "Organometallic Chemistry on Silicon and Germanium Surfaces," Chemical Reviews, May 2002, pp. 1272-1308, Vol. 102, No. 5.	
	A30	HUISKEN, et al., "Light-Emitting Silicon Nanocrystals from Laser Pyrolysis," Advanced Materials, 2002, pp. 1861-1865, Vol. 14, No. 24.	
	A31	GORLA, et al., "Silicon and Germanium Nanoparticle Formation in an Inductively Coupled Plasma Reactor," Journal of Vacuum Science & Technology Association, May/June 1997, pp. 860-864, Vol. 15, No. 3, Part I.	
	A32	HOLMES, et al., "Control of Thickness and Orientation of Solution-Grown Silicon Nanowires," Science, 25 February 2000, pp. 1471-1473, Vol. 287.	
	A33	HANRATH, et al., "Nucleation and Growth of Germanium Nanowires Seeded by Organic Monolayer-Coated Gold Nanocrystals," J. Am. Chem. Soc., 2002, pp. 1424-1429, Vol. 124, No. 7.	

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT Date Submitted: November 12, 2004 <i>(use as many sheets as necessary)</i>		Complete if Known	
		Application Number Filing Date First Named Inventor Group Art Unit Examiner Name Attorney Docket Number	10/814,295 04/01/2004 Paul THURK et al. 2879 Unassigned 040897-0115
Sheet	3	of	3

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ⁶
	A34	DING, et al., "Electrochemistry and Electrogenerated Chemiluminescence from Silicon Nanocrystal Quantum Dots," Science, 17 May 2002, pp. 1293-1297, Vol. 296.	
	A35	LU, et al., "Growth of Single Crystal Silicon Nanowires in Supercritical Solution from Tethered Gold Particles on a Silicon Substrate," Nano Letters, 2003, pp. 93-99, Vol. 3, No. 1.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.